



INVESTIGATIVE REPORT

Lori Torres, Inspector General

OFFICE: INDIANA OFFICE OF INSPECTOR GENERAL
TITLE: 2018 FINANCIAL DISCLOSURE STATEMENT FILING REPORT
CASE ID: 2018-05-0132
DATE: April 30, 2018

The Inspector General's State Ethics Director Jennifer Cooper, reports as follows:

Indiana state officers, state employees, and special state appointees are required to file an annual financial disclosure statement with the Indiana Office of Inspector General (OIG) no later than February 1 of every year under Ind. Code § 4-2-6-8 (b)(1), if they meet certain criteria enumerated in Ind. Code § 4-2-6-8(a).

This report provides an overview of the OIG's efforts to ensure that all individuals required to file an annual financial disclosure statement for calendar year 2017 met this requirement by the February 1, 2018 filing deadline.

Filing Requirements

Under Ind. Code § 4-2-6-8(a) the following persons are required to file a written financial disclosure statement: (1) The governor, lieutenant governor, secretary of state, auditor of state, treasurer of state, attorney general, and state superintendent of public instruction; (2) Any candidate for one (1) of the offices in subdivision (1) who is not the holder of one (1) of those

offices; (3) Any person who is the appointing authority of an agency; (4) The director of each division of the department of administration; (5) Any purchasing agent within the procurement division of the department of administration; (6) Any agency employee, special state appointee, former agency employee, or former special state appointee with final purchasing authority; (7) The chief investment officer employed by the Indiana public retirement system; (8) Any employee of the Indiana public retirement system whose duties include the recommendation, selection, and management of:

(A) the investments of the funds administered by the Indiana public retirement system;

(B) the investment options offered in the annuity savings accounts in the public employees' retirement fund and the Indiana state teachers' retirement fund;

(C) the investment options offered in the legislators' defined contribution plan; or

(D) investment managers, investment advisors, and other investment service providers of the Indiana public retirement system; or

(9) An employee required to do so by rule adopted by the inspector general.

All of these individuals are required to file an annual financial disclosure statement with the OIG no later than February 1. The OIG provides notice and instructions for filing to all of these individuals.

Summary of Collection Process

In December of 2017, the Indiana Department of Administration (IDOA) provided the OIG with a list, including names and email addresses, of all state employees and special state appointees who had final purchasing authority for their agency. IDOA also provided a list of all procurement agents with the procurement division of IDOA and the directors of each division

within IDOA. The Ethics Officer for the Indiana Public Retirement System (INPRS) provided a list of all INPRS individuals who met the criteria in Ind. Code § 4-2-6-8(a)(7) and Ind. Code § 4-2-6-8(a)(8). The Governor's Office provided a list of the current agency appointing authorities. The Indiana Department of Transportation (INDOT) provided a list of employees, in addition to those INDOT employees included in the lists provided by IDOA, which they had identified as having final purchasing authority.

The State Ethics Director compiled a master list of all of the required filers, including the seven elected state officers, and uploaded the names into the OIG's disclosure management system. The State Ethics Director also provided the email addresses for all of the required filers to the Indiana Office of Technology (IOT) so that all of the required filers could be included in the multiple listservs set up by IOT.

Starting on January 10, 2018, the State Ethics Director sent emails to all of the required filers through the listservs. The email informed the recipients that they were identified as required filers and that the deadline to submit their financial disclosure statement to the OIG was February 1, 2018. The financial disclosure statement was available as a digital on line form on the OIG's website, or filers could print it and mail it to the OIG. Reminder emails were sent to all required filers through the listservs on January 25, 2018; January 30, 2018; and February 1, 2018.

OIG's Legal Assistant processed all of the digital and hardcopy filings submitted to the OIG and entered information into the disclosure management system so that the OIG could monitor compliance with the filing requirements. By February 20, 2018, the Legal Assistant had logged all of the filings received by the OIG into the disclosure management system and provided the State Ethics Director with a list of 115 non-compliant required filers. The Legal

Assistant and the State Ethics Director sent additional reminder emails to the individual required filers, and coordinated with the Human Resources Directors to identify any employees who were no longer employed by the State, or who were on long term leave during the annual filing period. As of March 9, 2018, all identified required filers had come into compliance and had filed their annual financial disclosure statement.

Results

Between January 1, 2018 and March 9, 2018, the OIG received 2,074 financial disclosure statements for the 2017 calendar year; an increase of about seven (7) percent over the number collected during this period in 2017. The OIG posted the financial disclosure statements for all seven (7) state officers on its website.

Dated: April 30, 2018

APPROVED BY:

A handwritten signature in black ink that reads "Lori Torres". The signature is written in a cursive, flowing style.

Lori Torres, Inspector General